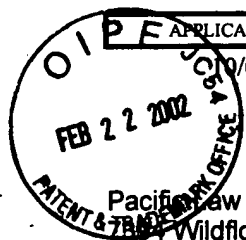


#3



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.govPacific Law Group, LLP  
7800 Wildflower Way  
Cupertino, CA 95014

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/028,943	12/21/2001	Kevin W. Shirk	2107-12

CONFIRMATION NO. 3831

## FORMALITIES LETTER



\*OC000000007382021\*

Date Mailed: 01/29/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 435.

+ \$ 40 — assignment fee  
total \$475.00

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

02/28/2002 NNDHAMM1 00000064 10028943

01 FC:201  
02 FC:205370.00 OP  
65.00 OP



THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Kevin W. Shirk  
Title: Method for Designing Polarization Maintaining Couplers  
Serial No.: 10/028,943  
Filing Date: 12/21/2001  
Examiner: Unknown  
Group Art Unit: 2874  
Docket No,: 2107-12

February 11, 2002

Commissioner of Patents and Trademarks  
Box Missing Parts  
Washington, DC 20231

Re: Response to Notice to File Missing Parts of Application  
*Filing Date Granted*

Dear Sir:

In response to the "Notice To Missing parts of Application – Filing Date Granted" mailed by the United States Patent and Trademark Office on 1/29/02, the following documents are enclosed to complete the filing of the above-identified patent application:

1. A Declaration signed by the inventors in compliance with 37 CFR 1.63;
2. Copy of Notice To Missing parts of Application – Filing Date Granted;
3. A check of \$475.00 payable to US Patent and Trademark Office;  
(including \$40 for assignment recordation)
4. A Fee Transmittal;
5. A Non-publication request; and
6. A Stamped and Self-addressed postcard.

It is hereby respectfully submitted that the enclosed documents complete the filing of the above patent application and justify the US filing date of December 21, 2002. The applicant believes that \$475.00 enclosed herewith is the only fee to be

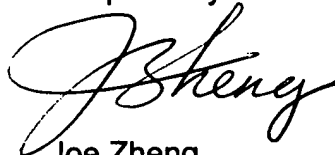
due in responding to this Notice. Please telephone the undersigned at (408)777-8873, if there are any questions.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to "Commissioner of Patents and Trademarks, Washington, DC 20231", on February 11, 2002.

Name: Joe Zheng

Signature: 

Respectfully submitted;



Joe Zheng

Reg.: No. 39,450



PTO/SB/17 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL**  
**for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$)**475.00****Complete if Known**

Application Number	10/028,943
Filing Date	12/11/2001
First Named Inventor	Kevin W. Shirk
Examiner Name	
Group Art Unit	2874
Attorney Docket No.	2107-12

**METHOD OF PAYMENT (check one)**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number
- Deposit Account Name
- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☒ **Payment Enclosed:**
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	\$370
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$)**370****2. EXTRA CLAIM FEES**

	Extra Claims	Fee from below	Fee Paid
Total Claims <input type="text"/>	-20** = <input type="text"/>	X <input type="text"/>	\$0
Independent Claims <input type="text"/>	- 3** = <input type="text"/>	X <input type="text"/>	\$0
Multiple Dependent <input type="text"/>			

\*\*for number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**0****FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	\$65
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	\$40
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) 

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**105****SUBMITTED BY**

Name (Print/Type)	Jo Zheng	Registration No. (Attorney/Agent)	39,450	Telephone	408-777-8873
Signature				Date	2/11/2002

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.